

DECLARATION FOR NON-PROVISIONAL PATENT APPLICATION*

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below at 201 et seq. beneath my name.

I believe I am the original, first and sole inventor if only one name is listed at 201 below, or an original, first and joint inventor if plural names are listed at 201 et seq. below, of the subject matter which is claimed and for which a patent is sought on the invention entitled

Multivalent Antibody Constructs

and for which a patent application:

☐ is attached hereto and includes amendment(s) filed on (if applicable)

☐ was filed in the United States as Application No. (for declaration not accompanying application)

with amendment(s) filed on (if applicable)

☒ was filed as PCT international Application No. **PCT/DE99/01350** on **5 May 1999** and was amended under PCT Article 19 on (if applicable)

I hereby state that I have reviewed and understand the contents of the above identified application, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose information known to me to be material to patentability as defined in Title 37, Code of Federal Regulations, §1.56.

I hereby claim foreign priority benefits under Title 35, United States Code, §119(a)-(d) of any foreign application(s) for patent or inventor's certificate listed below and have also identified below any foreign application for patent or inventor's certificate having a filing date before that of the application on which priority is claimed:

EARLIEST FOREIGN APPLICATION(S), IF ANY, FILED PRIOR TO THE FILING DATE OF THE APPLICATION			
APPLICATION NUMBER	COUNTRY	DATE OF FILING (day, month, year)	PRIORITY CLAIMED
198 19 846.9	Germany	5 May 1998	YES <input checked="" type="checkbox"/> NO <input type="checkbox"/>
			YES <input type="checkbox"/> NO <input type="checkbox"/>
			YES <input type="checkbox"/> NO <input type="checkbox"/>

I hereby claim the benefit under Title 35, United States Code, §119(e) of any United States provisional application(s) listed below.



PROVISIONAL APPLICATION NUMBER	FILING DATE

I hereby claim the benefit under Title 35, United States Code, §120 of any United States application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code §112, I acknowledge the duty to disclose information known to me which is material to patentability as defined in Title 37, Code of Federal Regulations, §1.56 which became available between the filing date of the prior application and the national or PCT international filing date of this application:

NON-PROVISIONAL APPLICATION SERIAL NO.	FILING DATE	STATUS		
		PATENTED	PENDING	ABANDONED

* for use only when the application is assigned to a company, partnership or other organization.

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

201	FULL NAME OF INVENTOR	LAST NAME <u>LITTLE</u>	FIRST NAME <u>Melvin</u>	MIDDLE NAME	
	RESIDENCE & CITIZENSHIP	CITY <u>Neckargemund</u> DEX	STATE OR FOREIGN COUNTRY <u>DE</u>	COUNTRY OF CITIZENSHIP <u>Great Britain</u>	
	POST OFFICE ADDRESS	STREET <u>Fritz-von-Briesen-Strasse 10</u>	CITY <u>Neckargemund</u>	STATE OR COUNTRY	ZIP CODE <u>D-69151</u>
		SIGNATURE OF INVENTOR 201 		DATE <u>23 Nov. 2000</u>	
202	FULL NAME OF INVENTOR	LAST NAME <u>KIPRIYANOV</u>	FIRST NAME <u>Sergej</u>	MIDDLE NAME	
	RESIDENCE & CITIZENSHIP	CITY <u>Heidelberg</u> DEX	STATE OR FOREIGN COUNTRY <u>DE</u>	COUNTRY OF CITIZENSHIP <u>Russian Federation</u>	
	POST OFFICE ADDRESS	STREET <u>Furtwanglerstrasse 3</u>	CITY <u>Heidelberg</u>	STATE OR COUNTRY	ZIP CODE <u>D-69121</u>
		SIGNATURE OF INVENTOR 202 		DATE <u>23 Nov. 2000</u>	

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re: ☒ Application of Little *et al.*
☐ Patent of:

☒ Application No.: To be assigned
☐ Patent No.:

Group Art Unit: To be assigned

☐ Filed:
☐ Issued:

Examiner: To be assigned

For: MULTIVALENT ANTIBODY
CONSTRUCTS

Attorney Docket No.:
8484-089-999

VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS
[37 CFR 1.9(f) and 1.27(d)] - Nonprofit Organization

Assistant Commissioner for Patents
Washington, D.C. 20231

Sir:

I hereby declare that I am an official empowered to act on behalf of the nonprofit organization identified below:

Name of organization Deutsches Krebsforschungszentrum Stiftung des öffentlichen Rechts
Address of organization Im Neuenheimer Feld 280, D-69120 Heidelberg Germany

Type of organization

- ☐ University or other institution of higher education
☐ Tax exempt under Internal Revenue Service Code (26 USC 501(a) and 501(c)(3))
☐ Nonprofit scientific or educational under statute of state of the United States of America
(Name of state _____)
(Citation of statute _____)
☒ Would qualify as tax exempt under Internal Revenue Service Code (26 USC 501(a) and 501(c)(3)) if located in the United States of America.
☐ Would qualify as nonprofit scientific or educational under statute of state of the United States of America if located in the United States of America
(Name of state _____)
(Citation of statute _____)

I hereby declare that the nonprofit organization identified above qualifies as a nonprofit organization as defined in 37 CFR 1.9(e) for purposes of paying reduced fees under section 41(a) and (b) of Title 35, United States Code with regard to the invention entitled **MULTIVALENT ANTIBODY CONSTRUCTS** by inventor(s) Melvyn Little and Sergej Kipriyanov described in

- ☐ the specification filed herewith
☐ application no. filed
☐ patent no. issued

I hereby declare that rights under contract or law have been conveyed to and remain with the nonprofit organization identified above and/or there is an obligation under contract or law by the inventor(s) to convey rights to the nonprofit organization identified above with regard to the invention.

If the rights held by the nonprofit organization are not exclusive, each individual, concern or organization having rights to the invention is listed below* and no rights to the invention are held by any person, other than the inventor, who could not qualify as an independent inventor under 37 CFR 1.9(c) or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e).

FULL NAME _____
ADDRESS _____

☐ INDIVIDUAL ☐ SMALL BUSINESS CONCERN ☐ NONPROFIT ORGANIZATION

FULL NAME _____
ADDRESS _____

☐ INDIVIDUAL ☐ SMALL BUSINESS CONCERN ☐ NONPROFIT

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. [37 CFR 1.28 (b)]

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, and patent issuing thereon, or any patent to which this verified statement is directed.

Send correspondence to: PENNIE & EDMONDS LLP Direct Telephone calls to:
1155 Avenue of the Americas (212) 790-9090
New York, N.Y. 10036-2711

Name of person signing Prof. Dr. Harald zur Hausen Dr. Josef Pucha
 Title of person other than owner Scientific Member of the Administrative Member of the
 Address of person signing Management Board Management Board

Signature _____ Date 21. Nov. 00

*NOTE: Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. (37 CFR 1.27)